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PTO/SB/05 (12/97)

Approved for use through 09/30/00. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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JC690 U.S. PTO  
03/31/00jc525 U.S. PTO  
09/540245  
03/31/00**UTILITY PATENT APPLICATION TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. B98-031-5First Named Inventor or Application Identifier Goodman et al.Title Modulating Robo: Ligand InteractionsExpress Mail Label No. EL071088080US**EL071088080US**ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D. C. 20231**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. X \*Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. X Specification (Total Pages 33)  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claims
  - Abstract of the Disclosure
3.    Drawings(s) (35 USC 113) (Total Sheets       )
4. X Oath or Declaration (Total Pages 2)
  - a.    Newly Executed (Original or Copy)
  - b. X Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 17 completed)
  - i.    **DELETIONS OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. X Incorporation By Reference  
The entire disclosure of the prior application is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6.    Microfiche Computer Program (Appendix)
7. X Nucleotide and/or Amino Acid Sequence Submission

09540245 033100

(if applicable, all necessary)

- a. ☐ Computer Readable Copy  
b. ☒ Paper Copy (identical to computer copy)  
c. ☐ Statement verifying identity of above copies  
d. ☒ Request to use CRF from another application

### ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & documents(s))  
a. Assignment to The Regents of the University of California, of record in prior application  
9. ☒ 37 CFR 3.73(b) Statement (where there is an assignee)  
☒ Power of Attorney (copy from prior application)  
10. ☐ English Translation Document (if applicable)  
11. ☒ a. Information Disclosure Statement (IDS)/PTO-1449  
☐ b. Copies of IDS Citations  
12. ☒ Preliminary Amendment  
13. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)  
14. ☒ a. \*Small Entity Statement(s) (copy from prior application)  
☒ b. Statement filed in prior application, Status still proper and desired  
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)  
16. ☐ Other: \_\_\_\_\_

\*NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 CFR 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 CFR 1.28)

### 17. Priority

This application claims priority to prior application No: 09/191,647

Prior application information: Examiner Terry McKelvey Group Art Unit 1636

### 18. Correspondence Address



**23379**

\_\_\_\_\_  
Customer Number or Bar Code Label

PATENT TRADEMARK OFFICE  
(Insert Customer No. or Attach Bar Code Label here)

or

☒ Correspondence Address Below

NAME Richard Aron Osman

SCIENCE & TECHNOLOGY LAW GROUP

ADDRESS 75 Denise Drive

CITY Hillsborough STATE California ZIP CODE 94010

Country U.S.A. TELEPHONE (650) 343-4341 FAX (650) 343-4342

Name: Richard Aron Osman Registration No: 36,627

Signature: \_\_\_\_\_

Date: March 31, 2000

**FEE TRANSMITTAL FOR FY 2000**

Patent fees are subject to annual revision. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTP/SB/09-12. See 37 CFR 1.27 and 1.28

**TOTAL AMOUNT OF PAYMENT (\$)** \$425.00

**Complete if Known:**

Application No. Not yet assigned

Filing Date Herewith

First Named Inventor Goodman et al.

Group Art Unit 1636

Examiner Name McKelvey, T.

Attorney Docket No. B98-031-5

**METHOD OF PAYMENT (check one)**

1. ☐ The Commissioner is hereby authorized to charge indicated fees to:

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 and credit any over payments to:

☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b) to:

Deposit Account Number 19-0750

Deposit Account Name Science & Technology Law Group

2. ☒ Payment Enclosed

☒ Check

☐ Money Order

☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
101	690	201	345	Utility application filing fee	<u>345</u>
106	310	206	155	Design application filing fee	<u>          </u>
107	480	207	240	Plant filing fee	<u>          </u>
108	690	208	345	Reissue filing fee	<u>          </u>
114	150	214	75	Provisional application filing fee	<u>          </u>

**SUBTOTAL (1)** \$ 345.00

**2. CLAIMS**

			Extra		Fee from below		Fee Paid
Total Claims	<u>20</u>	- 20 =	<u>0</u>	X	<u>          </u>	=	<u>0</u>
Independent Claims	<u>1</u>	- 3 =	<u>0</u>	X	<u>0</u>	=	<u>0</u>
Multiple Dependent Claims			<u>0</u>	X	<u>          </u>	=	<u>0</u>

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
103	18	203	9	Claims in excess of twenty	<u>          </u>
102	78	202	39	Independent claims in excess of 3	<u>          </u>
104	260	204	130	Multiple dependent claim	<u>          </u>
109	78	209	39	Reissue independent claims over original patent	<u>          </u>
110	18	210	9	Reissue claims in excess of 20 and over original patent	<u>          </u>

**SUBTOTAL (2)** \$

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
105	130	205	65	Surcharge - late filing fee or oath	_____
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	_____
139	130	139	130	Non-English specification	_____
147	2,520	147	2,520	For filing a request for reexamination	_____
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	_____
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	_____
115	110	215	55	Extension for response within first month	_____
116	380	216	190	Extension for response within second month	_____
117	870	217	435	Extension for response within third month	_____
118	1,360	218	680	Extension for response within fourth month	_____
128	1,850	228	925	Extension for response within fifth month	_____
119	300	219	150	Notice of Appeal	_____
120	300	220	150	Filing a brief in support of an appeal	_____
121	260	221	130	Request for oral hearing	_____
138	1,510	138	1,510	Petition to institute a public use proceeding	_____
140	110	240	55	Petition to revive unavoidably abandoned application	_____
141	1,210	241	605	Petition to revive unintentionally abandoned application	_____
142	1,210	242	605	Utility issue fee (or reissue)	_____
143	430	243	215	Design issue fee	_____
144	580	244	290	Plant issue fee	_____
122	130	122	130	Petitions to the Commissioner	_____
123	50	123	50	Petitions related to provisional applications	_____
126	240	126	240	Submission of Information Disclosure Stmt	_____
581	40	581	40	Recording each patent assignment per property (times number of properties)	80.00
146	690	246	345	For filing a submission after final rejection (see 37 CFR 1.129(a))	_____
149	690	249	345	For each additional invention to be examined (see 37 CFR 1.129(a))	_____

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3) \$ 80.00**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**Typed or Printed Name: Richard Aron OsmanSignature  Date March 31, 2000Reg. Number 36.627 Deposit Account User ID \_\_\_\_\_

(complete if applicable)